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PAGE 001

TOT: 011728Z FEB 85

WASHINGT 241279

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DEFERRED TELEPOUCH 011728Z WASHINGTON 241279

TO: ALLOC []

FROM: D/CO INFO OC-AMD, OC-CSD, OC-DND, OC-ED, OC-FND, OC-MLS,
OP/CCPB

SUBJECT: ALLOC [] EVALUATION GUIDELINES-BANDING MERIT PAY SYSTEM

REF: WASHINGTON 071827

1. THE GUIDELINES PROVIDED BELOW PERTAIN TO AREA AND COMPONENT EVALUATIONS FOR TELECOMMUNICATION OFFICERS UNDER THE BANDING MERIT PAY SYSTEM. GUIDELINES FOR HEADQUARTERS REVIEW BOARD DELIBERATIONS WILL FOLLOW IN SEPARATE CORRESPONDENCE.

2. TELECOMMUNICATIONS OFFICERS UNDER THE EXPERIMENTAL PAY SYSTEM WILL BE EVALUATED ON AN ANNUAL BASIS ACCORDING TO THE FOLLOWING SCHEDULE:

	PAR PERIOD ENDS	PAR/PAF DUE IN HQS	HQS REVIEW BOARD
LEVEL IV (FOR SIS)	31 JANUARY	28 FEBRUARY	31 MARCH
LEVEL IV (NOTE 1)	31 MAY	30 JUNE	15 JULY
LEVEL III	30 APRIL	31 MAY	31 JULY
LEVEL II	30 APRIL	31 MAY	31 JULY
LEVEL I	31 MAY	30 JUNE	15 AUGUST

NOTE 1: INCLUDES LEVEL IV EMPLOYEES RECOMMENDED FOR SIS BUT NOT SELECTED AND ALL OTHER LEVEL IV EMPLOYEES. PERFORMANCE ASSESSMENT FORM IS ALL THAT WILL BE REQUIRED FOR EMPLOYEES WHOSE PARS WERE COMPLETED FOR SIS CONSIDERATION.

3. PERFORMANCE APPRAISAL REPORT - AN ANNUAL PERFORMANCE APPRAISAL REPORT (PAR) WILL BE COMPLETED ON EACH EMPLOYEE IN ACCORDANCE WITH THE OC PAR AND EVALUATION SCHEDULE FOR TELECOMMUNICATIONS OFFICERS (TCO). THE REPORT WILL ADDRESS THE MERITS AND DEFICIENCIES OF EACH INDIVIDUAL IN ACCORDANCE WITH APPROPRIATE REGULATIONS AND GUIDELINES. COMPONENT MANAGERS ARE CHARGED WITH REVIEWING THESE REPORTS AND ENSURING THE RATINGS AND COMMENTS ADDRESS THE CRITERIA IN ACCORDANCE WITH ESTABLISHED GUIDELINES. INFLATION OF PARS WILL DILUTE THE MERIT PAY OF THOSE EMPLOYEES WHO WARRANT RECOGNITION FOR SUPERIOR PERFORMANCE UNDER BANDING CRITERIA. THE PAR WILL CONTINUE TO BE THE PRIMARY CONTRIBUTING FACTOR TO THE TOTAL EVALUATION. PAR NARRATIVES SHOULD ADDRESS THE FACTORS LISTED ON THE PERFORMANCE ASSESSMENT FORM AND THE HEADQUARTERS REVIEW BOARD WORK SHEETS.

4. CATEGORY DESCRIPTOR - A CATEGORY DESCRIPTOR IS ASSIGNED BY THE FIELD COMPONENT FOR EACH EMPLOYEE BASED ON HIS/HER OVERALL EVALUATION. INCLUDED IN THIS EVALUATION ARE THE PAST PERFORMANCE RECORD, CAPABILITIES AND POTENTIAL FOR GROWTH. (SEE PARA 4E BELOW FOR AN EXPLANATION OF POTENTIAL). MOST EMPLOYEES ARE CONSIDERED TO BE GOOD PERFORMERS AND COULD RECEIVE A RATING OF CATEGORY III. ANY EMPLOYEE WHO EXCEEDS THIS RATING, BUT IS NOT SUPERIOR, WOULD BE RATED AS CATEGORY II. ONLY THOSE EMPLOYEES WHO ARE TRULY SUPERIOR ARE RATED CATEGORY I. POOR PERFORMERS (BELOW THE ACCEPTABLE STANDARDS ARE CONSIDERED CATEGORY IV). INDIVIDUAL CATEGORY

CONFIDENTIAL

CONFIDENTIAL

85 6347717

PCR

PAGE 002

TOT: 011728Z FEB 85

WASHINGT 241279

DEFINITIONS FOLLOW:

A. CATEGORY I - THESE EMPLOYEES POSSESS AND ARE PRESENTLY USING EXPERIENCE, KNOWLEDGE AND TALENTS TO A DEGREE THAT IS CLEARLY EXCEPTIONAL IN COMPARISON WITH THEIR PEERS. THEY EXCEL IN CURRENT JOB ASSIGNMENTS. THEIR PERSONAL CHARACTERISTICS AND WORK PERFORMANCE CLEARLY SUGGEST THE POTENTIAL FOR RAPID UPWARD MOVEMENT THROUGH POSITIONS OF INCREASINGLY GREATER RESPONSIBILITY, PERFORMING STRONGLY IN EACH JOB ASSIGNMENT. THEY WILL REQUIRE MINIMAL TIME TO INCREASE THEIR POTENTIAL IN THIS UPWARD PROGRESSION. THEIR PERFORMANCE WOULD BE SUPERIOR IN ANY JOB WITHIN THEIR LEVEL AND IN MANY JOBS WITHIN THE NEXT HIGHER LEVEL.

B. CATEGORY II - THESE EMPLOYEES POSSESS AND ARE USING EXPERIENCE, KNOWLEDGE AND TALENTS TO PERFORM STRONGLY. THEIR PERSONAL CHARACTERISTICS AND WORK PERFORMANCE INDICATE A CAPABILITY FOR STEADY ADVANCEMENT UPWARD THROUGH POSITIONS OF INCREASINGLY GREATER RESPONSIBILITY, PERFORMING STRONGLY IN EACH JOB ASSIGNMENT. THEY HAVE THE CAPABILITY TO INCREASE THEIR POTENTIAL IN EACH JOB. THEY COULD PERFORM IN AN OUTSTANDING MANNER IN ANY JOB WITHIN THEIR LEVEL AND IN SOME JOBS WITHIN THE NEXT HIGHER LEVEL.

C. CATEGORY III - THESE EMPLOYEES POSSESS AND ARE USING EXPERIENCE, KNOWLEDGE AND TALENTS TO PERFORM WELL IN POSITIONS AT THEIR CURRENT GRADE LEVEL BUT HAVE NOT DEMONSTRATED THE POTENTIAL TO PERFORM SUCCESSFULLY AT HIGHER LEVELS OF RESPONSIBILITY. THEIR PERSONAL FILES AND WORK PERFORMANCE TEND TO INDICATE THEY ARE CLOSE TO REALIZING OR HAVE REALIZED THEIR POTENTIAL. THEY COULD PERFORM SATISFACTORILY IN ANY JOB WITHIN THEIR LEVEL BUT AT THIS TIME IN FEW JOBS WITHIN THE NEXT HIGHER LEVEL.

D. CATEGORY IV - THESE EMPLOYEES MAY OR MAY NOT POSSESS EXPERIENCE, KNOWLEDGE AND TALENTS TO PERFORM SATISFACTORILY; HOWEVER, THEIR OVERALL WORK PERFORMANCE REFLECTS SPECIFIC DEFICIENCIES OR THE INABILITY TO MEET IMPORTANT ASPECTS OF WORK REQUIREMENTS. THEIR POTENTIAL FOR GROWTH SHOWS NO EVIDENCE OF IMPROVEMENT IN THEIR CURRENT JOB ASSIGNMENT.

E. POTENTIAL - THIS IS AN EVALUATION OF AN INDIVIDUAL'S CAPABILITY TO ASSUME HIGHER-LEVEL RESPONSIBILITIES, AND TO DEVELOP, GROW AND ADVANCE IN SUBSTANTIVE ASSIGNMENTS AND/OR MANAGERIAL POSITIONS. AT THE HIGHER LEVELS, I.E. LEVEL IV, POTENTIAL SHOULD BE EVALUATED AS THE EXTENT AN INDIVIDUAL'S YEARS OF EXPERIENCE, KNOWLEDGE, TALENTS AND SKILLS CAN BE APPLIED TO A VARIETY OF ASSIGNMENTS WITHIN OC, ELSEWHERE IN THE ORGANIZATION, OR THE COMMUNITY.

5. AREA AND COMPONENT EVALUATIONS WILL BE PERFORMED BY A BOARD OF SENIOR EMPLOYEES FROM BAND LEVEL IV. EVALUATIONS ARE TO BE BASED ON AN EMPLOYEE'S PERFORMANCE AS IT RELATES TO THE JOB REQUIREMENT, AND SHOULD NOT BE A COMPARATIVE EVALUATION AGAINST PEERS.

6. A COMPLETED PERFORMANCE ASSESSMENT FORM (PAF) WILL BE SUBMITTED ON ALL OC CAREERISTS UNDER THE BANDING MERIT PAY SYSTEM. A RATING OF THREE (3) IS TO BE USED AS "AVERAGE" WHEN RATING AN EMPLOYEE ON INTERPERSONAL RELATIONS, CREATIVITY, DEDICATION, JUDGEMENT, INITIATIVE AND SELF-EXPRESSION. WHEN AWARDING A RATING NUMBER AVOID THE SPLASH-OVER EFFECT OF HIGH OR LOW RATINGS IN SIMILAR CATEGORIES, E.G., CREATIVITY AND INITIATIVE. THE COMMENTS SECTION OF THE PAF SHOULD BE COMPLETED ON EVERY EMPLOYEE TO EXPLAIN OR HIGHLIGHT THE NUMERICAL RATINGS, AND/OR PROVIDE THE HEADQUARTERS REVIEW BOARD WITH AN INDIVIDUAL'S GENERAL STANDING. THE PAF SHOULD BE CONSIDERED A COUNSELING TOOL AND MUST BE DISCUSSED WITH THE EMPLOYEE UPON REQUEST.

7. AN EXPLANATION OF PAF CATEGORIES FOLLOWS:

A. SUPERVISION - THIS RATING IS ASSIGNED TO ANY INDIVIDUAL WHO HAS DEMONSTRATED SUPERVISORY RESPONSIBILITIES DURING THE RATING

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CONFIDENTIAL

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PAGE 003

TOT: 011728Z FEB 85

WASHINGT 241279

PERIOD. THIS RATING (AND RELATED DUTY) MUST BE REFLECTED ON THE ANNUAL PAR. THE EMPLOYEE MUST HAVE SUPERVISED AT LEAST ONE INDIVIDUAL FOR APPROXIMATELY 50 PERCENT OF THE TIME DURING THE TOTAL RATING PERIOD. IS THE INDIVIDUAL A GOOD ROLE MODEL AND TEACHER?

B. LEADERSHIP - THIS RATING WILL BE USED FOR THOSE INDIVIDUALS WHO DO NOT QUALIFY FOR THE CRITERIA UNDER THE HEADING AS A SUPERVISOR BUT WHO DESERVE A RATING AS A POTENTIAL OR PROVEN LEADER. INDIVIDUALS IN THIS CATEGORY HAVE DEMONSTRATED LEADERSHIP SKILLS BUT HAVE NOT HAD THE OPPORTUNITY TO SUPERVISE. LEADERSHIP POTENTIAL IS BEING EVALUATED.

C. OC TENURE - THE EXPERIENCE IN OC IS BEING ADDRESSED IN THIS CATEGORY. TENURE IS DEFINED BASED ON THE EOD DATE IN OC VERSUS THE ORGANIZATION. COMPONENTS ASSIGN A VALUE BASED ON THIS DATE. TENURE WILL BE ROUNDED TO THE NEAREST WHOLE YEAR.

E. INTERPERSONAL RELATIONS - CONSIDER THE INDIVIDUAL'S ABILITY TO REPRESENT THE COMPONENT, OFFICE, ORGANIZATION, AND TO WORK EFFECTIVELY WITH SUBORDINATES, PEERS, AND SUPERVISORS. IS THE EMPLOYEE A TEAM PLAYER?

F. CREATIVITY - CONSIDER EITHER THE INNOVATIVE OR PROBLEM SOLVING ASPECTS. THE INDIVIDUAL'S ABILITY TO RECOGNIZE PROBLEMS, AND TO CHOOSE LOGICAL SOLUTIONS WITH DISCRIMINATE USE OF RESOURCES. ALSO, THE INDIVIDUAL'S TALENT FOR SUGGESTING AND DEVELOPING METHODS OR PROCEDURES AND THE DEGREE TO WHICH THE INDIVIDUAL RECOGNIZES AND SUPPORTS SUGGESTIONS MADE BY OTHERS.

G. DEDICATION - CONSIDER HOW RESPONSIVE THE INDIVIDUAL IS TO THE NEEDS OF THE OFFICE AND HOW DISCIPLINED, DEPENDABLE AND PUNCTUAL HE/SHE IS IN DIFFICULT SITUATIONS.

H. JUDGEMENT - CONSIDER THE INDIVIDUAL'S ABILITY TO MAKE SOUND RECOMMENDATIONS AND CORRECT DECISIONS, ESPECIALLY WHEN THE AVAILABLE INFORMATION IS INCOMPLETE, AMBIGUOUS, OR CONFLICTING.

I. INITIATIVE - CONSIDER THE DEGREE TO WHICH THE INDIVIDUAL IDENTIFIES NEEDS, ORGANIZES, DEVISES AND UNDERTAKES ADDITIONAL TASKS AND RESPONSIBILITIES AND TAKES ADVANTAGE OF OPPORTUNITIES TO OFFER MEANINGFUL CONTRIBUTIONS. ALSO, CONSIDER THE AMOUNT OF SUPERVISION THE INDIVIDUAL REQUIRES, AND EFFORTS MADE TOWARD SELF-IMPROVEMENT.

J. SELF EXPRESSION - FOR WRITTEN CORRESPONDENCE CONSIDER GRAMMAR, CLARITY, ORGANIZATION, AND THE ABILITY TO USE A STYLE APPROPRIATE FOR THE TASK. FOR ORAL COMMUNICATIONS CONSIDER THE ABILITY TO EXCHANGE INFORMATION, THE EASE WITH WHICH THE INDIVIDUAL ASKS FOR AND SHARES INFORMATION WITH OTHERS AND IF THE INDIVIDUAL LISTENS ATTENTIVELY.

8. REASSIGNMENT PAFS AND A COPY OF THE PAR FOR EMPLOYEES TRANSFERRING FROM ONE OC COMPONENT TO ANOTHER WITHIN AN EVALUATION CYCLE WILL BE FORWARDED ELECTRICALLY TO THE GAINING COMPONENT UPON PCS DEPARTURE. THE GAINING COMPONENT SHOULD USE THIS INFORMATION IN CONJUNCTION WITH ITS OWN EVALUATION ASSESSMENT AND THEN SUBMIT ONE PAF TO HQS FOR REVIEW BOARD DELIBERATIONS. EMPLOYEES WILL BE IDENTIFIED BY EMPLOYEE NUMBER ONLY IN ALL ELECTRICAL TRANSMISSIONS. IF AN EMPLOYEE'S ASSIGNMENT IS CHANGED WHILE IN TRANSIT, THE EMPLOYEE'S PAF WILL BE FORWARDED BY THE OLD GAINING COMPONENT TO THE NEW GAINING COMPONENT. THE 120 DAY POLICY FOR COMPLETING PARS

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CONFIDENTIAL

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PCR

PAGE 004

TOT: 011728Z FEB 85

WASHINGTON 241279

NECESSITATED BY REASSIGNMENT OF EITHER THE SUPERVISOR OR THE EMPLOYEE IS STILL IN EFFECT. IN ADDITION TO THIS POLICY, IF THE HQS REVIEW BOARD IS SCHEDULED TO CONVENE WITHIN 120 DAYS OF AN EMPLOYEE'S PCS DEPARTURE FROM POST, A PAF MUST BE SENT DIRECT TO HQS.

9. BAND LEVEL PROMOTION RECOMMENDATIONS CONTAINED IN THE PAF MUST INCLUDE A STATEMENT CERTIFYING THAT THE EMPLOYEE HAS MET ALL CRITERIA FOR PROMOTION TO THAT BAND LEVEL AS OUTLINED BELOW:

A. REQUIREMENTS FOR ENTRY INTO TCO LEVEL II.

- (1) MINIMUM OVERALL 4 RATING ON CURRENT PAR
- (2) MUST HAVE MET ALL CERTIFICATION PROGRAM ENTRY REQUIREMENTS FOR TCO LEVEL II
- (3) COMPLETION OF ORGANIZATION 3-YEAR TRIAL PERIOD
- (4) RYBAT AND SECURITY ACCEPTABLE
- (5) MUST HAVE COMPLETED A MINIMUM OF 3-YEARS IN PANEL MCD
- (6) RECOMMENDATION BY COMPONENT CHIEF
- (7) CATEGORY DESCRIPTOR I, II, OR III

B. REQUIREMENTS FOR ENTRY INTO TCO LEVEL III.

- (1) MINIMUM OVERALL RATING OF 5 ON CURRENT PAR
- (2) MUST HAVE MET ALL CERTIFICATION PROGRAM ENTRY REQUIREMENTS FOR TCO LEVEL III
- (3) MINIMUM OF TWO PCS ASSIGNMENTS INCLUDING ONE OVERSEAS ASSIGNMENT
- (4) CATEGORY DESCRIPTOR I, II, OR III
- (5) RYBAT AND SECURITY ACCEPTABLE
- (6) RECOMMENDATION BY COMPONENT CHIEF

C. REQUIREMENTS FOR ENTRY INTO TCM LEVEL III.

- (1) MINIMUM OVERALL RATING OF 5 ON CURRENT PAR
- (2) MUST HAVE MET ALL CERTIFICATION PROGRAM ENTRY REQUIREMENTS FOR TCM LEVEL III
- (3) ORGANIZATION RETIREMENT QUALIFIED
- (4) ONE TO TWO YEARS EXPERIENCE AS MANAGER (MUST HAVE SUPERVISED AT LEAST ONE PERSON)
- (5) MINIMUM OF TWO PCS ASSIGNMENTS, INCLUDING ONE OVERSEAS ASSIGNMENT
- (6) RYBAT AND SECURITY ACCEPTABLE
- (7) MINIMUM CATEGORY DESCRIPTOR II
- (8) MUST HAVE PARTICIPATED IN MANAGEMENT RELATED TRAINING COURSES SUCH AS: MANAGERIAL, COUNSELING, WRITING, PUBLIC SPEAKING, WORD PROCESSOR, COMPUTER ETC.
- (9) RECOMMENDATION BY COMPONENT CHIEF

D. REQUIREMENTS FOR ENTRY INTO TCM LEVEL IV.

- (1) MINIMUM OVERALL RATING OF 5 ON CURRENT PAR
- (2) MINIMUM OF TWO PCS CONUS ASSIGNMENTS AND THREE PCS OVERSEAS ASSIGNMENTS
- (3) MUST HAVE ONE TOUR AS STAFF OFFICER (2 YEARS)
- (4) MUST HAVE EXPERIENCE AS SECTION OR BRANCH CHIEF (2 YEARS MINIMUM)
- (5) MINIMUM CATEGORY DESCRIPTOR II
- (6) MINIMUM PAR RATING OF 5 FOR MANAGERIAL/SUPERVISORY DUTIES
- (7) RYBAT AND SECURITY ACCEPTABLE
- (8) RECOMMENDATION OF COMPONENT CHIEF
- (9) ALL PROMOTIONS TO TCM LEVEL IV WILL BE FROM TCM LEVEL III

10. RECOMMENDED TRAINING FOR PROMOTION FROM BAND TO BAND IS AS FOLLOWS:

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85 6347717 PCR PAGE 005
TOT: 011728Z FEB 85 WASHINGT 241279

BAND LEVEL	TRAINING RECOMMENDATIONS
TRAINEE	EMPLOYEE DEVELOPMENT COURSE INTRODUCTION TO ORGANIZATION
OPERATIONS	ESSENTIALS OF WRITING (OR EQUIVALENT) TRENDS AND HIGHLIGHTS URBAN AWARENESS LEADERSHIP STYLES AND BEHAVIOR ORGANIZATION TODAY AND TOMORROW PAR WORKSHOP MANAGEMENT DEVELOPMENT COURSE COUNSELING COURSE BRIEFING TECHNIQUES INSTRUCTOR TRAINING WORKSHOP AND INSTRUCTIONAL SYSTEMS DESIGN (FOR INSTRUCTORS) OC MANAGEMENT SEMINAR
SPECIALIST	MID-CAREER ADVANCED MANAGEMENT TIME MANAGEMENT ADVANCED INTELLIGENCE SEMINAR PROGRAM ON CREATIVE MANAGEMENT CENTER FOR CREATIVE LEADERSHIP WAR COLLEGE (ONE OF SEVERAL)
SENIOR OFFICER	STAFF COLLEGE APPOINTMENTS ORGANIZATION SODP CORE AND WORKSHOPS

11. TWO COMPONENT EVALUATION BOARDS WILL BE ESTABLISHED FOR EACH BAND; ONE BOARD WILL EVALUATE ALL EMPLOYEES IN THAT BAND MIDPOINT AND BELOW, AND A DIFFERENT BOARD WILL EVALUATE ALL EMPLOYEES ABOVE MIDPOINT. TO MAINTAIN CONTINUITY, EVALUATION BOARDS SHOULD BE CHAIRED BY THE SAME INDIVIDUAL FOR THE FIRST EVALUATION CYCLE.

12. EMPLOYEES ARE TO BE NUMERICALLY RANK ORDER LISTED BASED ON THE TOTAL SCORES IN THE PAF. THIS LIST WILL BE FORWARDED TO HEADQUARTERS ALONG WITH THE PAFs, AND SHOULD HAVE A COLUMN ANNOTATING THOSE EMPLOYEES WHO MEET ALL THE CRITERIA AND ARE RECOMMENDED FOR PROMOTION TO THE NEXT BAND LEVEL.

13. THE FOLLOWING IS AN UPDATED PERFORMANCE ASSESSMENT FORM WHICH SUPERCEDES THAT PREVIOUSLY PROVIDED:

PERFORMANCE ASSESSMENT FORM

DATE: _____
NAME: _____ EMP. NO. _____ PANEL: _____ OC/EOD: _____
CURRENT ASSIGNMENT: _____ POSTN/TITLE: _____

PAR (OVERALL).....X5
PAR RATING ON SUPERVISION (O-7).....X1
LEADERSHIP (FOR NON-SUPERVISORS) (O-4).....X1
OC TENURE 1-5 YRS EQUALS 2
6-10 YRS EQUALS 3
11-15 YRS EQUALS 4
16 OR MORE YRS EQUALS 5.....X2
DIRECT INVOLVEMENT IN
ACTIVITIES (O-3).....X1
INTERPERSONAL RELATIONS (O-5).....X1
CREATIVITY (O-5).....X1
DEDICATION (O-5).....X1
JUDGEMENT (O-5).....X1
INITIATIVE (O-5).....X1
SELF EXPRESSION (WRITTEN AND ORAL) (O-5).....X1
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PAGE 006

TOT: 011728Z FEB 85

WASHINGTON 241279

III EQUALS 1, IV EQUALS 0).....X5

RECOMMENDED INCREMENTS: (MAXIMUM, MEDIAN, MINIMUM, NONE)

RECOMMENDED FOR PROMOTION:

TOTAL:

COMMENTS:

COMPONENT CHIEF SIGNATURE. ALL

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